



# UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE  
United States Patent and Trademark Office  
Address: COMMISSIONER FOR PATENTS  
P.O. Box 1450  
Alexandria, Virginia 22313-1450  
www.uspto.gov

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
10/015,234	12/17/2001	Virgil A. Albaugh	AUS920010990US1	6263

7590 04/05/2004  
Joseph J. Van Leeuwen  
P.O. Box 81641  
Austin, TX 78708-1641

EXAMINER

ALI, MOHAMMAD

ART UNIT	PAPER NUMBER
----------	--------------

2177

DATE MAILED: 04/05/2004

Please find below and/or attached an Office communication concerning this application or proceeding.

14

# Office Action Summary

Application No.

10/015,234

Applicant(s)

ALBAUGH ET AL.

Examiner

Mohammad Ali

Art Unit

2177

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

## Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE \_\_\_\_ MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

## Status

- 1) ☒ Responsive to communication(s) filed on 17 December 2001.
- 2a) ☐ This action is **FINAL**. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

## Disposition of Claims

- 4) ☒ Claim(s) 1-20 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_ is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 1-20 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_ are subject to restriction and/or election requirement.

## Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on \_\_\_\_ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

## Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some \* c) ☐ None of:
- ☐ Certified copies of the priority documents have been received.
  - ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_.
  - ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

\* See the attached detailed Office action for a list of the certified copies not received.

## Attachment(s)

- ☒ Notice of References Cited (PTO-892)
- ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)
- ☒ Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08)  
Paper No(s)/Mail Date 2.
- ☐ Interview Summary (PTO-413)  
Paper No(s)/Mail Date: \_\_\_\_.
- ☐ Notice of Informal Patent Application (PTO-152)
- ☐ Other: \_\_\_\_.

**DETAILED ACTION**

1. The application has been examined. Claims 1-20 are pending in this Office Action.

***Information Disclosure Statement***

2. The references cited in the IDS, PTO-1449, Paper No. 2 have been considered.

***Claim Rejections - 35 USC § 103***

3. The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

This application currently names joint inventors. In considering patentability of the claims under 35 U.S.C. 103(a), the examiner presumes that the subject matter of the various claims was commonly owned at the time any inventions covered therein were made absent any evidence to the contrary. Applicant is advised of the obligation under 37 CFR 1.56 to point out the inventor and invention dates of each claim that was not commonly owned at the time a later invention was made in order for the examiner to consider the applicability of 35 U.S.C. 103(c) and potential 35 U.S.C. 102(e), (f) or (g) prior art under 35 U.S.C. 103(a).

4. Claims 1-20 are rejected under 35 U.S.C. 103(a) as being unpatentable over

Stewart et al. ('Stewart' hereinafter), US 2001/0039570 in view of Notarius et al.  
(('Notarius' hereinafter), US 2002/0123957).

With respect to claim 1,

Stewart discloses a method of processing electronic document requests (see page 7, paragraph 0087, lines 13-15, Fig. 3), said method comprising:

receiving a request from an initiator transmitted through a computer network (see page 7, paragraph 0088, lines 10-20, Fig. 4);

determining a target recipient (see page 8, paragraph 0108);

identifying a first format corresponding to the request (see page 9, paragraph 0133);

identifying a second format corresponding to the target recipient (see page 11, paragraph 0169);

dynamically locating a process, wherein the process is adapted to format the request from the first format to the second format (see page 11, paragraph 0170);

formatting the request using the located process (see page 18, paragraph 0346);

creating a response based on the formatting (see page 18, paragraph 0349); and

sending the formatted response to the target recipient (see page 11, paragraph 0170).

Stewart does not explicitly indicate the claimed identifying format.

Notarius discloses the claimed identifying format (all information concerning or related to a identifiable, Customer, a particular group of Customers or any

Art Unit: 2177

compilation thereof. This information shall includes, the Customer's name, the Customer's identification number, the Customer's driver's license in scanable format, the Customer's driver's license number, other proof of age documentation for the Customer, the Customer's Address Information, the Customer's education level, the Customer's income level, the Customer's family structure, the Customer's hobbies or interests and any other demographic information for the Customer, see page 3, paragraph 0046).

It would have been obvious to one ordinary skill in the data processing art at the time of the present invention to combine the teachings of the cited references, because the identifying format of Notarius teachings would have allowed Stewart system to analyze product information in the computer network communication, as suggested by Notarius at page 2, paragraph 0015. Further, identifying format as taught by Notarius improves consumer to participate in the selected products (see page 2, paragraphs 0015 and 0032, Notarius).

As to claim 2,

Stewart teaches retrieving a target profile corresponding to the target recipient, the target profile including a trading partner list and a transaction list (see page 7, paragraph 0087);

determining whether the initiator is a trading partner based upon a reading of the trading partner list (see page 7, paragraph 0087); and

identifying whether the target recipient and initiator have a known transaction

Art Unit: 2177

process implementation based upon the transaction list (see pages 8 and 9, paragraph 0131).

As to claim 3,

Stewart teaches wherein the target profile includes one or more trading partner qualification criteria (see page 9, paragraph 0148).

As to claim 4,

Stewart teaches retrieving a HUB transaction process list (see page 17, paragraph 0323);

determining whether a transaction process implementation is available based upon the HUB transaction process list (see page 17, paragraph 0323); and

sending a message to the initiator based on the determination (see page 11, paragraph 0170).

As to claim 5,

Stewart teaches locating an existing instance of the process between the target recipient and the initiator (see page 11, paragraph 0170); and

creating a new instance between the target recipient and the initiator in response to not locating the existing instance of the process (see page 14, paragraph 0256).

As to claim 6,

Stewart teaches retrieving a transaction process number and a message process state corresponding to the request (see page 17, paragraph 0323);

retrieving a process state corresponding to the transaction process number (see page 17, paragraph 0323);

identifying a message type corresponding to the request (see page 12, paragraph 0189);

comparing the process state to the message process state (see page 17, paragraph 0333 et seq); and

validating the message in response to the comparison (see page 17, paragraph 0331).

As to claim 7,

Stewart teaches wherein the formatting further includes: determining whether the target recipient uses an interactive process or a client-server process (see page 14, paragraph 0256).

With respect to claim 8,

Stewart discloses an information handling system (see page 3, paragraph 0027) comprising:

one or more processors (see page 3, paragraph 0029);

a memory accessible by the processors (see page 3, paragraph 0029, Fig. 14);

one or more nonvolatile storage devices accessible by the processors (see page 8, paragraph 0119);

a document processing tool to process electronic documents (see page 8, paragraph 0111), the document processing tool including:

means for receiving a request from an initiator transmitted through a computer network (see page 7, paragraph 0088, lines 10-20, Fig. 4);

means for determining a target recipient (see page 8, paragraph 0108);

means for identifying a first format corresponding to the request (see page 9, paragraph 0133);

means for identifying a second format corresponding to the target recipient (see page 11, paragraph 0170);

means for dynamically locating a process, wherein the process is adapted to format the request from the first format to the second format (see page 11, paragraph 0170);

means for formatting the request using the located process (see page 18, paragraph 0346);

means for creating a response based on the formatting (see page 18, paragraph 0349); and

means for sending the formatted response to the target recipient (see page 11, paragraph 0170).

Stewart does not explicitly indicate the claimed identifying format.

Notarius discloses the claimed identifying format (all information concerning or related to a identifiable, Customer, a particular group of Customers or any compilation thereof. This information shall includes, the Customer's name, the Customer's identification number, the Customer's driver's license in scanable format, the Customer's driver's license number, other proof of age documentation for the Customer, the Customer's Address Information, the Customer's education level, the Customer's income level, the Customer's family structure, the Customer's hobbies or



Art Unit: 2177

interests and any other demographic information for the Customer, see page 3, paragraph 0046).

It would have been obvious to one ordinary skill in the data processing art at the time of the present invention to combine the teachings of the cited references, because the identifying format of Notarius teachings would have allowed Stewart system to analyze product information in the computer network communication, as suggested by Notarius at page 2, paragraph 0015. Further, identifying format as taught by Notarius improves consumer to participate in the selected products (see page 2, paragraphs 0015 and 0032, Notarius).

As to claim 9,

Stewart teaches means for retrieving a target profile corresponding to the target recipient, the target profile including a trading partner list and a transaction list (see page 14, paragraph 0256 et seq);

means for determining whether the initiator is a trading partner based upon a reading of the trading partner list (see page 17, paragraph 0324); and

means for identifying whether the target recipient and initiator have a known transaction process implementation based upon the transaction list (see page 14, paragraph 0256 et seq).

As to claim 10,

Stewart teaches wherein the target profile includes one or more trading partner qualification criteria (see page 17, paragraph 0324).

As to claim 11,

Art Unit: 2177

Stewart teaches means for retrieving a HUB transaction process list (see page 17, paragraph 0323);

means for determining whether a transaction process implementation is available based upon the HUB transaction process list (see page 17, paragraph 0323 et seq); and

means for sending a message to the initiator based on the determination (see page 11, paragraph 0170).

As to claim 12,

Stewart teaches means for locating an existing instance of the process between the target recipient and the initiator (see page 17, paragraphs 0318, 0322); and

means for creating a new instance between the target recipient and the initiator in response to not locating the existing instance of the process (see page 18, paragraph 0349).

As to claim 13,

Stewart teaches means for retrieving a transaction process number and a message process state corresponding to the request (see page 7, paragraph 0087 et seq);

means for retrieving a process state corresponding to the transaction process number (see page 17, paragraph 0323);

means for identifying a message type corresponding to the request (see page 17, paragraph 0323);

means for comparing the process state to the message process state (see page 18, paragraph 0352); and

means for validating the message in response to the comparison (see page 17, paragraph 0331, page 8, para. 0119).

With respect to claim 14,

Stewart discloses a computer program product stored in a computer operable media for processing electronic documents (see page 5, paragraph 0065), said computer program product comprising:

means for receiving a request from an initiator transmitted through a computer network (see page 7, paragraph 0088, lines 10-20, Fig. 4);

means for determining a target recipient (see page 8, paragraph 0108);

means for identifying a first format corresponding to the request (see page 9, paragraph 0133);

means for identifying a second format corresponding to the target recipient (see page 11, paragraph 0170);

means for dynamically locating a process, wherein the process is adapted to format the request from the first format to the second format (see page 11, paragraph 0170);

means for formatting the request using the located process (see page 18, paragraph 0346);

means for creating a response based on the formatting (see page 18, paragraph 0349); and

means for sending the formatted response to the target recipient (see page 11, paragraph 0170).

Stewart does not explicitly indicate the claimed identifying format.

Notarius discloses the claimed identifying format (all information concerning or related to a identifiable, Customer, a particular group of Customers or any compilation thereof. This information shall includes, the Customer's name, the Customer's identification number, the Customer's driver's license in scanable format, the Customer's driver's license number, other proof of age documentation for the Customer, the Customer's Address Information, the Customer's education level, the Customer's income level, the Customer's family structure, the Customer's hobbies or interests and any other demographic information for the Customer, see page 3, paragraph 0046).

It would have been obvious to one ordinary skill in the data processing art at the time of the present invention to combine the teachings of the cited references, because the identifying format of Notarius teachings would have allowed Stewart system to analyze product information in the computer network communication, as suggested by Notarius at page 2, paragraph 0015. Further, identifying format as taught by Notarius improves consumer to participate in the selected products (see page 2, paragraphs 0015 and 0032, Notarius).

As to claim 15,

Stewart teaches means for retrieving a target profile corresponding to the target recipient, the target profile including a trading partner list and a transaction list (see page 7, paragraph 0087);

means for determining whether the initiator is a trading partner based upon a reading of the trading partner list (see page 7, paragraph 0087); and

means for identifying whether the target recipient and initiator have a known transaction process implementation based upon the transaction list (see page 7, paragraph 0087 et seq).

As to claim 16,

Stewart teaches wherein the target profile includes one or more trading partner qualification criteria (see page 7, paragraph 0087).

As to claim 17,

Stewart teaches means for retrieving a HUB transaction process list (see page 8, paragraph 0103);

means for determining whether a transaction process implementation is available based upon the HUB transaction process list (see page 7, paragraph 0087); and

means for sending a message to the initiator based on the determination (see page 11, paragraph 0170).

As to claim 18,

Stewart teaches means for locating an existing instance of the process between the target recipient and the initiator (see page 11, paragraph 0170); and

means for creating a new instance between the target recipient and the initiator

Art Unit: 2177

in response to not locating the existing instance of the process (see page 11, paragraphs 0170, 0168).

As to claim 19,

Stewart teaches means for retrieving a transaction process number and a message process state corresponding to the request (see page 11, paragraph 0170);

means for retrieving a process state corresponding to the transaction process number (see page 17, paragraph 0323);

means for identifying a message type corresponding to the request (see page 9, paragraph 0133);

means for comparing the process state to the message process state (see page 17, paragraph 0331 et seq); and

means for validating the message in response to the comparison (see page 17, paragraph 0331, page 8, para. 0119).

As to claim 20,

Stewart teaches wherein the formatting further includes: means for determining whether the target recipient uses an interactive process or a client-server process (see page 11, paragraph 0170 et seq).

***Contact Information***

5. Any inquiry concerning this communication or earlier communications from the examiner should be directed to Mohammad Ali whose telephone number is (703) 605-4356. The examiner can normally be reached on Monday to Thursday from 7:30am-6:00pm.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, John Breene can be reached on (703) 305-9790 or Customer Service (703) 306-5631. The fax phone number for the organization where this application or proceeding is assigned is (703) 872-9306 for any communications. Any inquiry of a general nature or relating to the status of this application or proceeding should be directed to the receptionist whose telephone number is (703) 305-9600.



Mohammad Ali

Patent Examiner

AU 2177

MA

April 01, 2004